



Department of the Interior
U.S. Fish and Wildlife Service

Expires June 30, 2007
OMB No. 1018-0093

Federal Fish and Wildlife Permit Application Form

Return to: Division of Management Authority (DMA)

Type of Activity:

4401 N. Fairfax Drive, Room 700
Arlington, VA 22203
1-800-358-2104 or 703-358-2104

Export/Re-Export of Plants (CITES)

If Renewal, permit no. _____

Complete sections A OR B and C and D of this application. Note: if a field is "gray", no answer is required. Application will not be considered complete without all sections. See additional instructions on attached pages.

A. Complete if applying as an individual (Provide a U.S. address)					
1.a. Last name		1.b. First name		1.c. Middle name or initial	1.d. Suffix
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)	
3.a. City		3.b. Province	3.c. State	3.d. Zip code/Postal code:	3.e. Country
4. Date of birth (mm/dd/yyyy)	5. Social Security No.		6. Occupation		7.a. Home telephone number
7.b. Work telephone number		7.c. Fax number		8. E-mail address	
				9. County	
10. List any business, agency, organizational, or institutional affiliation associated with the wildlife or plants to be covered by this permit (see C.1.)				11. Doing business as (dba)	

B. Complete if applying as a business, corporation, public agency or institution				
1.a. Name of business, agency, or institution			1.b. Doing business as (dba)	
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)
3.a. City		3.b. Province	3.c. State	3.d. Zip code
		3.e. Country		
4. Tax identification no.		5. Describe the type of business, agency, or institution and provide state of incorporation		
6.a. Principal officer (President, director, etc) Last name		6.b. First name		6.c. Middle name or initial
				6.d. Suffix
7. Principal officer title:				8. Home telephone number
9. Work telephone number		10. Fax number		11. E-mail address
				12. County

C. All applicants complete	
1.	Do you currently have or have you had any Federal Fish and Wildlife permits? (For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.) Yes <input type="checkbox"/> If yes, list the number of the most current permit you have held: _____ No <input type="checkbox"/>
2.	Have you obtained all required State, Federal, or foreign government approval(s) to conduct the activity you propose? Yes <input type="checkbox"/> If yes, provide a copy of the approval(s). Have applied <input type="checkbox"/> Not required <input type="checkbox"/>
3.	Enclose check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount indicated on page 2 [50 CFR 13.11(d)]. Institutions which qualify under 50 CFR 13.11(d)(3) may be exempt from the application processing fee.
4.	Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13, of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.
5.	Signature (in blue ink) of applicant/person responsible for permit in Section A. or B. (Photocopied signatures are not accepted.)
6. Date (mm/dd/yyyy):	

D. EXPORT/RE-EXPORT OF PLANTS ([CITES](#))

Provide the following information. If needed, use a separate sheet of paper. If you have a large inventory, submitting an electronic file will help to expedite the processing of your application. You may provide a disk or check here ____ for us to contact you by email for the file. On all attachments or separate sheets you are submitting, please indicate the application question number you are addressing. Be sure to indicate which plants are being addressed in each response.

Note: If this is the first time you are applying, wish to export commercially, and are a nursery, please use form [3-200-33](#).

1. Do you need authorization for a single shipment or multiple shipments?

Single Shipment = \$100 processing fee for export/re-export, \$75 for re-export only	Multiple shipments = \$200 processing fee Renewal = \$100
Provide Name and address of recipient:	A. This application allows you set up a Master File , valid for three years and is renewable, for exports of these plant specimens under CITES. Once the Master File is approved you would need to obtain single-use permits, valid for 6 months, for each export (50 CFR 13.11).
	B. How many single-use permits do you anticipate using in the next 6 months upon completion of this Master File review? _____. (Provide \$5 for each 6-month permit.) Additional permits may be requested via letter.

2. Please list your species by Appendix (I, II, or III), and sort the native species separately from the non-natives. For EACH plant species, indicate:

- Scientific name (genus, species, and if applicable, hybrid, variety, cultivar, or subspecies) and common name;
- Quantity;
- Country where the plant was acquired;
- Source of the specimen (i.e., removed from the wild or artificially propagated); and
- General description (whole plants, seeds, parts and derivatives, and size of each)

3. Current location of specimens _____.

4. For living plants: (a) describe type of shipping container and (b) arrangements for care during shipping: _____.

5. What is the purpose of the export? _____.

6. For **plants collected from the Wild in the United States**, provide:

- number of specimens collected;
 - specific location, and date of collection for each specimen,
 - who (name and address) collected the specimens;
 - copies of documents to show the plants were legally collected (e.g., State permits or licenses, landowner's permission, etc.). Be sure to correlate each document to the corresponding plant;
 - if you purchased the plants/seeds, provide the invoice or other document that shows the name, address and telephone number of the person from whom you purchased the plants and the date of purchase for each specimen (such documentation should trace back to the original collector);
 - approximate density (such as number of plants per acre) and distribution of the species at the collection site(s);
 - collection methodology (i.e., whether the specimens were removed from one clump in an area of several clumps or from more than one clump or patch at a specific location); and
 - ratio of how many collected to how many remain.
- i. For **wild-collected Appendix-I plants**, provide a copy of the CITES import permit issued by the Management Authority of the country to which you plan to export the plant. Please note that an import

permit is not required if the specimen qualifies as pre-Convention or artificially propagated.

7. For **Artificially Propagated Plants**, provide:
 - a. A signed statement from propagator or other evidence that the specimen was artificially propagated (i.e., produced in a nursery) in the United States (must meet definition of artificially propagated as defined in attached copy of CITES Conf. 11.11; if you propagated the plants, you must sign the statement); AND
 - b. If you purchased the plants, provide the invoice or other document that shows the name, address and telephone number of the person from whom you purchased the plants and the date of purchase for each specimen.
8. For Commercial shipments, provide a copy of your State nursery license and U. S. Department of Agriculture Protected Plant Permit (formerly known as General Permit).
9. For **Re-Export** (the export of plants that were previously imported), provide evidence the specimen was legally imported:
 - a. Copies of canceled CITES export or re-export document issued by the appropriate CITES office in the country from which the plant was imported.
 - b. In addition, if you did not make the original import, a copy of the invoice or other document that shows you purchased the plant from the original importer or history of transactions. (Be sure to correlate each document to the corresponding plant.)
10. For **plants obtained prior to their listing under CITES** (i.e., pre-Convention), provide documents, signed statement or other evidence that the plant was obtained prior to the date CITES applied to it (e.g., bill of sale, USDA or foreign phytosanitary certificate). The listing date can be found in the booklet Appendices I, II, and III to CITES available from DMA or <http://international.fws.gov/pdf/appendices.pdf>.
11. For **Brazilian rosewood** (*Dalbergia nigra*), complete one of the below certification statements.

Guitar manufacture/exporter/lumber exporter:

Provide a catalog or inventory of your pre-Convention Brazilian rosewood (*Dalbergia nigra*) stock of wood and/or guitars.

I certify that all the guitars/guitar pieces to be exported are made from my pre-Convention supply of Brazilian rosewood (*Dalbergia nigra*), harvested prior to 6/11/92. If applying for multiple shipments, I anticipate that I will need to export ____ guitars/pieces of wood in the next four years.

Applicant's signature: _____ Date: _____

Vintage guitar purchaser and exporter:

Provide a catalog or inventory of your pre-Convention Brazilian rosewood (*Dalbergia nigra*) stock of guitars.

I certify that all the guitars to be exported are made from pre-convention Brazilian rosewood (*Dalbergia nigra*), harvested prior to 6/11/92, as documented by the guitars' serial numbers. If applying for multiple shipments, I anticipate that I will need to export ____ guitars in the next four years.

Applicant's signature: _____ Date: _____

12. For the export of plants by **a plant society for exhibition**, provide:
 - a. A list of the names of the plant society members who would be exporting the society's plants;
 - b. The names and dates of the show(s) and the approximate dates of export and re-import of the plants; AND,

- c. A signed and dated certification statement from the current society president similar to:
“This certifies that the plants, transported to [country where show occurs] through the port of [USDA designated port], under a CITES permit to be issued to [your society’s name], are for exhibition at [name of plant show]. None of the plants being exported will be sold. These same plants will be returned to the United States through the port of [USDA designated port] at the conclusion of the show.”

13. Address where you wish permit mailed (if different than page 1):

_____.

14. If you wish the permit to be mailed other than by regular mail, provide air bill, pre-paid envelope, or billing information _____.

15. Who should we contact if we have questions about the application? (Include name, phone number, and email):

_____.

PERMIT APPLICATION FORM INSTRUCTIONS

The following instructions pertain to the standard permit form 3-200 that must be completed as an application for a U.S. Fish and Wildlife Service or CITES permit. The General Permit Procedures in 50 CFR 13 address the permitting process. For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.

- Complete all appropriate blocks/lines/questions in Sections A OR B, and C and D. **Print clearly or type in the information.** An incomplete application may cause delays in processing or may be returned to the applicant. Note: if a field is "grayed in", no answer is required.
- Sign the application in blue ink and send the original to the address at the top of the application. Faxes or copies of the original signature will not be accepted.
- Please plan ahead. Allow at least 60 days for your application to be processed (50 CFR 13.11). However, some applications may take longer than 90 days to process. Applications are processed in the order they are received.
- Additional forms and instructions are available from <http://permits.fws.gov/>.

Most of the application form is self-explanatory, but the following provides some assistance for completing the form.

COMPLETE EITHER SECTION A OR SECTION B:

- Section A. **"Complete if applying as an individual"** - Enter the complete name of the responsible individual who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. All blocks must be completed. **If you are applying on behalf of a client, the personal information must pertain to the client; and a document evidencing power of attorney must be included with the application.**
- Section B. **"Complete if applying as a business, corporation, public agency, or institution"** - Enter the complete name and address of the business, agency or institution that will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in, the name and phone number of the person in charge (i.e., principal officer), and if the company is incorporated, the State in which it is incorporated.

ALL APPLICANTS COMPLETE SECTION C:

- Section C.1 **"Do you currently have or have you had any Federal Fish and Wildlife permits?"** List the number(s) of your most current FWS or CITES permit or the number of the most recent permit if none are currently valid. If applying for a renewal of a CITES permit, the original permit must be returned with this application.
- Section C.2 **"Have you obtained all required State, Federal or foreign government approval to conduct the activity you propose?"** (Please be aware that there may be other requirements necessary to conduct this activity such as a hunting license, import permit, or collection permit.) If "yes," list the state, Federal or foreign countries involved and type of document required. Include a copy of these documents with the application. If you have applied for the documents, check the "have applied" box and list the state, Federal or foreign countries involved and type of documents required. If the proposed activity is not regulated check "not required."
- Section C.3 **"Check or money order (if applicable)"** There is an application processing fee unless you are applying as a Federal, State or tribal government agency or you are an individual or institution under contract to such agency for the proposed activities. (See 50 CFR 13.11(d)(3) for fee schedule.) Proof of status as a Federal, State or tribal government agency or contractor to such agency should accompany your application. The application processing fee is assessed to partially cover the cost of processing a request. The fee does not guarantee the issuance of a permit. It will not be refunded regardless of whether a permit is issued, abandoned, or denied. See the accompanying section APPLICATION PROCESSING FEE for the fee to process this application. Make your check or money order payable to the "U.S. Fish and Wildlife Service" and attach it to the application form.
- Section C.4 **"CERTIFICATION"** The individual identified in Section A, the principal officer named in Section B, or person with a valid power of attorney (documentation must be included in the application) must sign and date the application in blue ink. This signature binds the applicant to the statement of certification. This means that you certify that you have read and understand the regulations that apply to the permit. You also certify that everything included in the application is true to the best of your knowledge. Be sure to read the statement and re-read the application and your answers before signing.

ALL APPLICANTS COMPLETE SECTION D:

Provide any required additional information outlined in Section D. of the application form. Be as complete and descriptive as possible. If there is any doubt as to the information's relevance, include it with the application. Please do not send videotapes or DVDs.

APPLICATION FOR A FEDERAL FISH AND WILDLIFE PERMIT

Paperwork Reduction Act and the Privacy Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, *et seq.*) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:
 - a. Bald and Golden Eagle Protection Act (16 U.S.C. 668), [Title 50 Part 22 of the Code of Federal Regulations \(CFR\)](#);
 - b. Endangered Species Act of 1973 (16 U.S.C. 1531-1544), [Title 50 CFR Part 17](#);
 - c. Migratory Bird Treaty Act (16 U.S.C. 703-712), [Title 50 CFR Part 21](#);
 - d. Marine Mammal Protection Act of 1972 (16 U.S.C. 1361, *et seq.*), [Title 50 CFR Part 18](#);
 - e. Wild Bird Conservation Act (16 U.S.C. 4901-4916), [Title 50 CFR Part 15](#);
 - f. Lacey Act (18 U.S.C. 42); Injurious Wildlife, [Title 50 CFR Part 16](#);
 - g. [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(TIAS 8249\)](#); [Title 50 CFR Part 23](#).
 - h. General Provisions, [Title 50 CFR Part 10](#);
 - i. General Permit Procedures, [Title 50 CFR Part 13](#); and
 - j. Wildlife (Import/export/transport), [Title 50 CFR Part 14](#).
2. Information requested in this form is purely voluntary. However, submission of requested information is required in order to process applications for permits authorized under the above laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. Response is not required unless a currently valid Office of Management and Budget (OMB) control number is displayed.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1374) will be published in the **Federal Register** as required by the two laws.
4. Routine use disclosures outside the Department of the Interior may be made without the consent of an individual if the disclosure is compatible with the purposes for which the record was collected. (Ref. 68 FR 52611, September 4, 2003) Disclosures outside the DOI may be made under the routine uses listed below without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected.
 - a. To subject matter experts, and State, Federal, local, and foreign agencies, for the purpose of obtaining advice relevant to making a decision on an application for a permit or when necessary to accomplish a FWS function related to this system of records.
 - b. To the public as a result of publishing Federal Register notices announcing the receipt of permit applications for public comment or notice of the decision on a permit application.
 - c. To Federal, State, local, or foreign wildlife and plant agencies for the exchange of information on permits granted or denied to assure compliance with all applicable permitting requirements.
 - d. To Captive-bred Wildlife registrants under the Endangered Species Act for the exchange of authorized species, and to share information on the captive breeding of these species.
 - e. To Federal, State, and local authorities who need to know who is permitted to receive and rehabilitate sick, orphaned, and injured birds under the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act; federally permitted rehabilitators; individuals seeking a permitted rehabilitator with whom to place a sick, injured, or orphaned bird in need of care; and licensed veterinarians who receive, treat, or diagnose sick, orphaned, and injured birds.
 - f. To the Department of Justice (DOJ), or a court, adjudicative, or other administrative body or to a party in litigation before a court or adjudicative or administrative body, under certain circumstances;
 - g. To the appropriate Federal, State, tribal, local, or foreign governmental agency responsible for investigating, prosecuting, enforcing, or implementing statutes, rules, or licenses, when we become aware of a violation or potential violation of such statutes, rules, or licenses, or when we need to monitor activities associated with a permit or regulated use.
 - h. To a congressional office in response to an inquiry to the office by the individual to whom the record pertains.
 - i. To the General Accounting Office or Congress when the information is required for the evaluation of the permit programs.
 - j. To provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the FWS.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public reporting burden on the applicant for this information collection varies depending on the activity for which a permit is requested. The relevant burden for this permit application is 1 hour. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 222, Arlington Square, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

Freedom of Information Act – Notice

For organizations, businesses, or individuals operating as a business (i.e., permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

Application Processing Fee

The fee to process this application is \$200 for a master file and \$5 for each permit issued from that file: OR for a single permit, \$100 processing fee for export/re-export, \$75 for re-export only. Checks should be made payable to "U.S. Fish and Wildlife Service." Fees for renewals and amendments may vary; see fee schedule at 50 CFR 13.11(d)(4)]. The processing fee will not be refunded regardless of whether a permit is issued, abandoned, or denied. The fee schedule does not apply to